

House File 648

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1 3 AN ACT
1 4 RELATING TO THE CONSOLIDATION OF THE MANAGEMENT OF STATE
1 5 ARCHIVES AND RECORDS AND MAKING CONFORMING CHANGES.
1 6
1 7 BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF IOWA:
1 8
1 9 Section 1. Section 14B.102, subsection 2, paragraph e,
1 10 Code 2003, is amended by striking the paragraph and inserting
1 11 in lieu thereof the following:
1 12 e. Developing and maintaining an electronic repository for
1 13 public access to reference copies of agency mandated reports,
1 14 newsletters, and publications in conformity with section
1 15 304B.10, subsection 1, paragraph "h". The department shall
1 16 develop technical standards for an electronic repository in
1 17 consultation with the state librarian and the state archivist.
1 18 Sec. 2. Section 163.37, subsection 3, Code 2003, is
1 19 amended to read as follows:
1 20 3. Such records shall be maintained for a length of time
1 21 as required by and pursuant to chapter ~~304~~ 304B and at the
1 22 point of concentration and shall be made available for
1 23 inspection by the department at reasonable times.
1 24 Sec. 3. Section 303.2, subsection 2, paragraph d, Code
1 25 2003, is amended to read as follows:
1 26 d. Administer the state archives and records program in
1 27 accordance with ~~sections 303.12 through 303.15, and 304.6~~
1 28 chapter 304B.
1 29 Sec. 4. NEW SECTION. 304B.1 CITATION.
1 30 This chapter shall be known and may be cited as the "State
1 31 Archives and Records Act".
1 32 Sec. 5. NEW SECTION. 304B.2 DEFINITIONS.
1 33 As used in this chapter, unless the context otherwise
1 34 requires:
1 35 1. "Agency" means any department, office, commission,
2 1 board, or other unit of state government except as otherwise
2 2 provided by law.
2 3 2. "Archives" means records that have been appraised by
2 4 the state records commission as having sufficient historical,
2 5 research, evidential, or informational value to warrant
2 6 permanent preservation and that have been transferred to the
2 7 custody of the state archives.
2 8 3. "Commission" means the state records commission created
2 9 in section 304B.3.
2 10 4. "Custody" means guardianship or control of records,
2 11 including both physical possession, referred to as physical
2 12 custody, and legal responsibility, referred to as legal
2 13 custody, unless one or the other is specified.
2 14 5. "Designee" means an appointee of a commission member
2 15 listed in section 304B.3, who is a year-round, full-time state
2 16 employee, appointed to regularly represent the commission
2 17 member in the activities of the commission for a period of at
2 18 least two years.
2 19 6. "Government records program" means a systematic state
2 20 government program for the creation, organization,
2 21 administrative use, maintenance, security, public
2 22 availability, and final disposition of records.
2 23 7. "Guideline" means a suggested method of operation for
2 24 specific activities.
2 25 8. "Policy" means a basic statement describing the
2 26 boundaries within which activities are to take place.
2 27 9. "Record" means a document, book, paper, electronic
2 28 record, photograph, sound recording, or other material,
2 29 regardless of physical form or characteristics, made,
2 30 produced, executed, or received pursuant to law in connection
2 31 with the transaction of official business of state government.
2 32 "Record" does not include library and museum material made or
2 33 acquired and preserved solely for reference or exhibition
2 34 purposes or stocks of publications and unprocessed forms.
2 35 10. "Records series retention and disposition schedule"
3 1 means a timetable established by the state records commission
3 2 that describes the length of time a records series of an
3 3 agency or multiple agencies must be retained in active and
3 4 inactive status and provides authorization for a final
3 5 disposition of the records series by destruction or permanent

3 6 retention.

3 7 11. "Records inventory" means a detailed listing of the
3 8 volume, scope, and complexity of an agency's records that is
3 9 compiled for the purpose of creating records series retention
3 10 and disposition schedules.

3 11 12. "Records officer" means a year-round, full-time agency
3 12 official who possesses a broad understanding of programs and
3 13 records of an agency and who is designated by the agency head
3 14 to coordinate the records program or programs within the
3 15 agency.

3 16 13. "Standard" means a specific rule or principle
3 17 established to measure quality or value.

3 18 14. "Vital operating record" means a record containing
3 19 information essential to continue or to reestablish an agency
3 20 in the event of a natural or other disaster, allowing the re=
3 21 creation of the state's legal and financial status, and the
3 22 determination of the rights and obligations of the state and
3 23 its citizens.

3 24 Sec. 6. NEW SECTION. 304B.3 COMMISSION CREATED ==
3 25 DUTIES.

3 26 A state records commission is created. The commission
3 27 shall consist of the following officials or their designees:

- 3 28 1. The secretary of state.
- 3 29 2. The director of the department of cultural affairs.
- 3 30 3. The treasurer of state.
- 3 31 4. The director of revenue and finance.
- 3 32 5. The director of the department of management.
- 3 33 6. The state librarian.
- 3 34 7. The auditor of state.
- 3 35 8. The director of the department of general services.

4 1 9. The director of the information technology department.

4 2 Sec. 7. NEW SECTION. 304B.4 COMMISSION PURPOSE.
4 3 The commission shall adopt government information policies,
4 4 standards, and guidelines to do all of the following:

- 4 5 1. Provide for economy and efficiency in the creation,
4 6 organization, maintenance, administrative use, security,
4 7 public availability, and final disposition of government
4 8 records.
- 4 9 2. Ensure creation of proper documentation of the
4 10 organization, functions, policies, decisions, procedures, and
4 11 essential transactions of state government agencies to protect
4 12 the legal and financial rights of the state and of persons
4 13 directly affected by the government's activities.
- 4 14 3. Identify and preserve state government records that
4 15 document the history and development of the state.

4 16 Sec. 8. NEW SECTION. 304B.5 EXPENSES.

4 17 Members of the commission shall serve without compensation
4 18 but may receive their actual expenses incurred in the
4 19 performance of their duties.

4 20 Sec. 9. NEW SECTION. 304B.6 MEETINGS.

4 21 The commission shall have its offices at the seat of
4 22 government but may hold meetings in other locations. The
4 23 commission shall meet quarterly and at the call of the
4 24 chairperson.

4 25 Sec. 10. NEW SECTION. 304B.7 ADMINISTRATION.

4 26 The department of cultural affairs, through the state
4 27 archives and records program, is the primary agency
4 28 responsible for providing administrative personnel and
4 29 services for the commission.

4 30 Sec. 11. NEW SECTION. 304B.8 COMMISSION
4 31 RESPONSIBILITIES.

- 4 32 1. The commission shall do all of the following:
 - 4 33 a. Develop and adopt government information policies,
4 34 standards, and guidelines for the creation, storage,
4 35 retention, and disposition of records.
 - 5 1 b. In consultation with the emergency management division
5 2 of the department of public safety, establish policies,
5 3 standards, and guidelines for the identification, protection,
5 4 and preservation of records essential for the continuity or
5 5 reestablishment of governmental functions in the event of an
5 6 emergency arising from a natural or other disaster.
 - 5 7 c. Provide planning, policy development, and review for
5 8 the government records program.
 - 5 9 d. Adopt rules pursuant to chapter 17A that provide
5 10 government information policies and standards.
 - 5 11 e. Adopt and maintain an interagency records manual
5 12 containing the rules governing records management, as well as
5 13 records series retention and disposition schedules,
5 14 guidelines, and other information relating to implementation
5 15 of this chapter.
 - 5 16 f. Make recommendations, in consultation with the

5 17 information technology department, to the governor and the
5 18 general assembly for the continued reduction of printed
5 19 reports throughout state government in a manner that protects
5 20 the public's right to access such reports.
5 21 g. Provide advice, counsel, and services to the
5 22 legislative, judicial, and executive branch agencies subject
5 23 to this chapter on the care and management of state government
5 24 records.
5 25 h. Report to the governor and the general assembly on the
5 26 status of the government records program.
5 27 i. Perform any act necessary and proper to carry out its
5 28 duties.
5 29 2. The commission may do all of the following:
5 30 a. Examine records in the possession, constructive
5 31 possession, or control of state agencies to carry out the
5 32 purposes of this chapter.
5 33 b. Enter into agreements and contracts.
5 34 c. Secure appropriations, grants, or other outside
5 35 funding.
6 1 d. Appoint advisory committees of citizens, public
6 2 officials, or professional consultants to secure advice on
6 3 records issues.
6 4 e. Make, or cause to be made, preservation duplicates of
6 5 records, which may include existing copies of original state
6 6 records. Any preservation duplicate record shall be durable,
6 7 accurate, complete, and clear, and shall be made by means
6 8 designated by the commission.
6 9 f. Develop appropriate charges for services provided for
6 10 the convenience of state agencies, the judicial and
6 11 legislative branches, political subdivisions, or the public.
6 12 g. Provide advice and counsel to political subdivisions on
6 13 the care and management of local government records.
6 14 h. Establish a centralized records storage facility.
6 15 Sec. 12. NEW SECTION. 304B.9 DEPARTMENT OF CULTURAL
6 16 AFFAIRS RESPONSIBILITIES.
6 17 1. The department of cultural affairs shall do all of the
6 18 following:
6 19 a. Provide administrative support to the state records
6 20 commission through the state archives and records program.
6 21 b. Appoint a state archivist to head the state archives
6 22 and records program.
6 23 c. Maintain all official records of the state records
6 24 commission.
6 25 d. Provide training, advice, and counsel to agencies on
6 26 government information policies, standards, and guidelines.
6 27 e. Recommend records series retention and disposition
6 28 schedules to the commission for consideration.
6 29 f. Recommend plans, policies, standards, and guidelines on
6 30 records issues to the commission for consideration.
6 31 g. Compile, update, and distribute the state records
6 32 manual as adopted by the commission.
6 33 h. Manage any centralized records storage facility
6 34 established by the commission for the temporary storage of
6 35 agency records prior to their final disposition by destruction
7 1 or permanent preservation in accordance with the records
7 2 series retention and disposition schedules.
7 3 i. Develop and distribute operating procedures for
7 4 agencies to use to implement the plans, policies, standards,
7 5 and guidelines adopted by the commission.
7 6 j. Provide advice, counsel, and services to the
7 7 legislative, judicial, and executive branch agencies subject
7 8 to this chapter on the care and management of state government
7 9 records.
7 10 k. Manage the state archives and develop operating
7 11 procedures for the transfer, accessioning, arrangement,
7 12 description, preservation, protection, and public access of
7 13 those records the commission identifies as having permanent
7 14 value.
7 15 l. Maintain physical custody and legal custody of archives
7 16 that have been transferred and delivered to the state
7 17 archives.
7 18 (1) Upon receipt by the state archivist, the archives
7 19 shall not be removed without the state archivist's consent
7 20 except in response to a subpoena of a court of record or in
7 21 accordance with approved records series retention and
7 22 disposition schedules or after review and approval of the
7 23 commission.
7 24 (2) Upon request, the state archivist shall make a
7 25 certified copy of any record in the legal custody or in the
7 26 physical custody of the state archivist, or a certified
7 27 transcript of any record if reproduction is inappropriate

7 28 because of legal or physical considerations. If a copy or
7 29 transcript is properly authenticated, it has the same legal
7 30 effect as though certified by the officer from whose office it
7 31 was transferred or by the secretary of state. The department
7 32 of cultural affairs shall establish reasonable fees for
7 33 certified copies or certified transcripts of records in the
7 34 legal custody or physical custody of the state archivist.

7 35 2. The department of cultural affairs may:

8 1 a. Upon written consent of the state archivist, accept
8 2 records of political subdivisions that are voluntarily
8 3 transferred to the state archives.

8 4 b. Provide advice and counsel to political subdivisions on
8 5 the care and management of local government records.

8 6 Sec. 13. NEW SECTION. 304B.10 AGENCY HEAD

8 7 RESPONSIBILITIES.

8 8 1. Each agency head shall do all of the following:

8 9 a. Make and maintain records containing adequate and
8 10 proper documentation of the agency organization, functions,
8 11 policies, decisions, procedures, and essential transactions
8 12 designed to furnish information to protect the legal and
8 13 financial rights of the state and of persons directly affected
8 14 by the agency's activities.

8 15 b. Designate one or more agency officials with broad
8 16 understanding of agency programs and records to be an agency
8 17 records officer to coordinate records programs within the
8 18 agency and to be the point of contact with the state archives
8 19 and records program.

8 20 c. Cooperate with the state records commission and the
8 21 state archives and records program in the development and
8 22 implementation of government information policies, standards,
8 23 and guidelines, and in the development and implementation of
8 24 records series retention and disposition schedules.

8 25 d. Comply with requests from the state records commission
8 26 or the state archives and records program to examine records
8 27 in the possession, constructive possession, or control of the
8 28 agency in order to carry out the purposes of this chapter.

8 29 e. Inventory agency records in accordance with state
8 30 records commission policies to draft records series retention
8 31 and disposition schedules.

8 32 f. Identify vital operating records in accordance with the
8 33 policies, standards, and guidelines of the state records
8 34 commission.

8 35 g. Provide for the identification, protection, and
9 1 preservation of vital operating records in the custody of the
9 2 agency.

9 3 h. Prepare all mandated reports, newsletters, and
9 4 publications for electronic distribution in accordance with
9 5 government information policies, standards, and guidelines. A
9 6 reference copy of all mandated reports, newsletters, and
9 7 publications shall be located at an electronic repository for
9 8 public access to be developed and maintained by the
9 9 information technology department in consultation with the
9 10 state librarian and the state archivist.

9 11 i. Provide for maximum economy and efficiency in the day=
9 12 to-day recordkeeping activities of the agency.

9 13 j. Provide for compliance with this chapter and the rules
9 14 adopted by the state records commission.

9 15 2. Agency heads may petition the state records commission
9 16 to create or modify government information policies,
9 17 standards, and guidelines, and to create or modify records
9 18 series retention and disposition schedules.

9 19 Sec. 14. NEW SECTION. 304B.11 TERMINATION OF STATE
9 20 AGENCY.

9 21 Upon the termination of a state agency whose functions have
9 22 not been transferred to another agency, custody of the records
9 23 of the agency shall transfer to the commission.

9 24 Sec. 15. NEW SECTION. 304B.12 DUPLICATES.

9 25 A preservation duplicate record shall have the same force
9 26 and effect for all purposes as the original record whether or
9 27 not the original record is in existence. A certified
9 28 transcript, exemplification, or copy of a preservation
9 29 duplicate record shall be deemed for all purposes to be a
9 30 certified transcript, exemplification, or copy of the original
9 31 record.

9 32 Sec. 16. NEW SECTION. 304B.13 RECORDS STATE PROPERTY.

9 33 All records made or received by or under the authority of
9 34 or coming into the custody, control, or possession of public
9 35 officials of this state in the course of their public duties

10 1 are the property of the state and shall not be mutilated,

10 2 destroyed, transferred, removed, or otherwise damaged or

10 3 disposed of, in whole or in part, except as provided by law or

10 4 by rule.

10 5 Sec. 17. NEW SECTION. 304B.14 LIABILITY PRECLUDED.

10 6 No member of the commission or head of an agency shall be
10 7 held liable for damages or loss, or civil or criminal
10 8 liability, because of the destruction of public records
10 9 pursuant to the provisions of this chapter or any other law
10 10 authorizing their destruction.

10 11 Sec. 18. NEW SECTION. 304B.15 EXEMPTIONS == DUTIES OF
10 12 STATE DEPARTMENT OF TRANSPORTATION AND STATE BOARD OF REGENTS.

10 13 The state department of transportation and the agencies and
10 14 institutions under the control of the state board of regents
10 15 are exempt from the state records manual and the provisions of
10 16 this chapter. However, the state department of transportation
10 17 and the state board of regents shall adopt rules pursuant to
10 18 chapter 17A for their employees, agencies, and institutions
10 19 that are consistent with the objectives of this chapter. The
10 20 rules shall be approved by the state records commission.

10 21 Sec. 19. NEW SECTION. 304B.16 IOWA HISTORICAL RECORDS
10 22 ADVISORY BOARD ESTABLISHED.

10 23 An Iowa historical records advisory board is established in
10 24 accordance with 36 C.F.R. } 1206.36=38.

10 25 1. MEMBERSHIP. The board shall consist of nine members
10 26 appointed by the governor for three-year staggered terms.
10 27 Members shall be eligible for reappointment. The members
10 28 shall have experience in a field of research or an activity
10 29 that administers or makes extensive use of historical records.
10 30 The majority of the members shall have professional
10 31 qualifications and experience in the administration of
10 32 government records, historical records, or archives. The
10 33 administrator of the historical division of the department of
10 34 cultural affairs shall serve as an ex officio member of the
10 35 board.

11 1 2. COORDINATOR. The state archivist shall serve as chair
11 2 of the board and as state historical records coordinator.

11 3 3. ADMINISTRATION. The department of cultural affairs,
11 4 through the state archives and records program, is the primary
11 5 agency responsible for providing administrative personnel and
11 6 services for the board.

11 7 4. MEETINGS. The board shall meet at least three times
11 8 annually and at the call of the chair. At least one meeting
11 9 annually shall be held outside the state capital or in
11 10 conjunction with a meeting of a relevant statewide
11 11 professional organization.

11 12 5. EXPENSES. Members of the board shall serve without
11 13 compensation but may receive their actual expenses incurred in
11 14 the performance of their duties.

11 15 6. RESPONSIBILITIES.

11 16 a. The board shall do all of the following:

11 17 (1) Serve as the central advisory body for historical
11 18 records planning in the state and as a coordinating body to
11 19 facilitate cooperation among historical records repositories
11 20 and other information agencies within the state.

11 21 (2) Serve as a state level review body for grant proposals
11 22 submitted to the national historical publications and records
11 23 commission.

11 24 b. The board may do all of the following:

11 25 (1) Serve in an advisory capacity to the state records
11 26 commission, the state archives and records program, and other
11 27 statewide archival or records agencies.

11 28 (2) Seek funds from the national historical publications
11 29 and records commission or other grant-funding bodies for
11 30 sponsoring and publishing surveys of the conditions and needs
11 31 of historical records in the state; for developing, revising,
11 32 and distributing funding priorities for historical records
11 33 projects in Iowa; for implementing projects to be carried out
11 34 in the state for the preservation of historical records and
11 35 publications; or for reviewing through reports and otherwise,
12 1 the operation and progress of records projects in the state.

12 2 Sec. 20. Chapter 304, Code 2003, is repealed.

12 3 Sec. 21. Sections 303.12, 303.13, 303.14, and 303.15, Code
12 4 2003, are repealed.

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12 8 CHRISTOPHER C. RANTS
12 9 Speaker of the House

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12 13 MARY E. KRAMER
12 14 President of the Senate

12 15
12 16 I hereby certify that this bill originated in the House and
12 17 is known as House File 648, Eightieth General Assembly.
12 18
12 19
12 20
12 21 _____
12 22 MARGARET THOMSON
12 23 Chief Clerk of the House
12 24 Approved _____, 2003
12 25
12 26 _____
12 27 THOMAS J. VILSACK
12 28 Governor